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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 10182-016-999 Total Pages 172

First Named Inventor or Application Identifier

Terry Roemer

Express Mail Label No. EL 477 033 139 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
*Submit an original, and a duplicate for fee processing*
2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 159]  
*(preferred arrangement set forth below)*
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings *(if filed)*
  - Detailed Description of the Invention *(including drawings, if filed)*
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 7]
5. ☒ Oath or Declaration (unexecuted) [Total Sheets 2]
  - ☐ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 19 completed)*
- i. ☐ **DELETION OF INVENTORS(S)**  
  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☒ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
  - a. ☒ Computer Readable Copy
  - b. ☒ Compact discs in duplicates in lieu of Paper Copy *(identical to computer copy)*
  - c. ☒ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
*(when there is an assignee)*
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement ☐ Copies of IDS  
(IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i)  
Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: Transmittal of Sequence Listing

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

- ☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/792,024 filed February 20, 2001. Priorities of U.S. provisional applications no. 60/259,128 and 60/314,050 filed on December 29, 2000 and August 22, 2001 respectively are also claimed.

**19. CORRESPONDENCE ADDRESS**

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**PENNIE & EDMONDS** LLP  
 COUNSELLORS AT LAW  
 1155 Avenue of Americas  
 New York, N.Y. 10036-2711

ATTORNEY DOCKET NO. 10182-016-999Date: December 20, 2001

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Terry Roemer, Bo Jiang, Charles Boone, Howard Bussey and Kari L. Ohlsen Executed on: (Unexecuted)

Title of Invention: **Gene Disruption Methodologies For Drug Target Discovery****PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	110	-20	90	\$18.00 each	\$ 1,620.00
Independent	29	-3	26	\$84.00 each	\$ 2,184.00
Minimum Fee					\$ 740.00
Multiple Dependency Fee If Applicable (\$280.00)					\$ 280.00
<b>Total</b>					\$ 4,824.00
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- \$ 0.00
<b>Total Filing Fee</b>					\$ 4,824.00

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☒ Priorities of U.S. provisional applications no. 60/259,128 and 60/314,050 filed on December 29, 2000 and August 22, 2001 respectively are claimed under 35 U.S.C. § 119(e). Priority of U.S. non-provisional application serial no. 09/792,024 filed February 20, 2001 is also claimed under 35 U.S.C. § 120.
- ☐ The certified copy of the priority application has been filed in application no. filed
- ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

*Laura A. Coruzzi*  
 Laura A. Coruzzi  
 PENNIE & EDMONDS LLP

By: *X. Coruzzi* 40,258  
 30,742  
 (Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.

**Express Mail No: EL 477 033 139 US**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Roemer et al.

Application No.: To be Assigned

Group Art Unit: To be Assigned

Filed: On Even Date Herewith

Examiner: To be Assigned

For: GENE DISRUPTION  
METHODOLOGIES FOR DRUG  
TARGET DISCOVERY

Attorney Docket No.: 10182-016-999

**TRANSMITTAL OF SEQUENCE LISTING UNDER 37 C.F.R. § 1.821**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

Sir:

In connection with the above-identified application, Applicants submit herewith: (i) a Sequence Listing on two compact discs labeled "Copy 1" and "Copy 2" pursuant to 37 C.F.R. §§ 1.52(e) and 1.821(c); and (ii) a computer readable form of the Sequence Listing on compact disc pursuant to 37 C.F.R. § 1.821(e) and 1.824.

Pursuant to 37 C.F.R. § 1.52(e)(3)(ii), Copy 1 and Copy 2 of the Sequence Listing are described as follows:

Copy 1:

Machine Format: IBM-PC  
Operating System: MS-Windows 98  
File name: 005999932SEQLIST.ST25  
File Format: ASCII  
Media Format: CD-ROM  
Size: 7,297 KB  
Creation Date: December 19, 2001

Copy 2:

Machine Format: IBM-PC  
Operating System: MS-Windows 98  
File name: 005999932SEQLIST.ST25  
File Format: ASCII  
Media Format: CD-ROM  
Size: 7,297 KB  
Creation Date: December 19, 2001

Copy 1 and Copy 2 of the Sequence Listing are identical.


Pursuant to 37 C.F.R. § 1.824, the computer readable form of the Sequence Listing is described as follows:

Machine Format: IBM-PC  
Operating System: MS-Windows 98  
File name: 005999932SEQLIST.ST25  
File Format: ASCII  
Media Format: CD-ROM  
Size: 7,297 KB  
Creation Date: December 19, 2001

I hereby state that the sequence listing information recorded in computer readable form is identical to the compact disc sequence listing submitted herewith.

Respectfully submitted,

Date: December 20, 2001

By:  40,258  
Laura A. Coruzzi 30,742  
Laura A. Coruzzi (Reg. No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090

Enclosures